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09465607 - GA 36328



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10269-13CON
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GROUP 3600

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants : Timothy Maxwell Keiser, et al.
Application No. : 09/465,607 Confirmation No. : 9080
Filed : December 17, 1999
For : COMPUTER-IMPLEMENTED SECURITIES
TRADING SYSTEM WITH A VIRTUAL
SPECIALIST FUNCTION
Group Art Unit : 3628
Examiner : Graham, Clement B.

New York, New York 10020
May 12, 2004

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In accordance with 37 C.F.R. §§ 1.56 and 1.97,
applicants hereby make the documents listed in Appendices A,
B, C, D, E, F and G attached hereto of record in the above-
identified patent application.

05/14/2004 ARDOF01 00000056 09465607

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./

Documents in Appendix A, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on April 11, 1996, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix B, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on April 22, 1998, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix C, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on June 7, 1999, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Documents in Appendix D, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally submitted on January 23, 2002, and are of record in parent U.S. Patent Application No. 09/184,571, filed November 2, 1998, Patent No. 6,505,174, issued January 7, 2003, from which priority is claimed.

Documents in Appendix E, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on August 2, 2002, and are of record in parent U.S. Patent Application No. 09/184,571, filed November

2, 1998, Patent No. 6,505,174, issued January 7, 2003, from which priority is claimed.

Documents in Appendix F, which are listed on the accompanying Form PTO-1449 (submitted in duplicate), were originally cited on December 1, 1998, and are of record in parent U.S. Patent Application No. 08/620,906, filed March 25, 1996, Patent No. 5,950,176, issued September 7, 1999, from which priority is claimed.

Accordingly, pursuant to 37 C.F.R. § 1.98(d), copies of documents A-F are not provided. Copies of documents in Appendix G are provided.

This Statement is being submitted after the mailing of a First Office Action on the merits. Accordingly, applicants have enclosed a check in the amount of \$180.00 in payment of the fee for submission of an Information Disclosure Statement in accordance with 37 C.F.R. § 1.97 (c) (2). The Director is hereby authorized to charge payment of any additional fees required in connection with this Information Disclosure Statement to Deposit Account No. 06-1075.

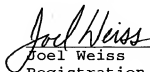
It is respectfully requested that these documents be (1) fully considered by the Patent and Trademark Office during examination of this application; and (2) printed on any patent which may issue on this application.

Applicants request that a copy of Form PTO-1449, as considered and initialed by the Examiner, be returned with the next communication.

A duplicate copy of this Information Disclosure Statement is enclosed herewith.

Consideration of the foregoing in relation to this patent application is respectfully requested.

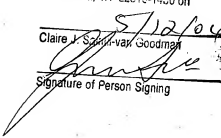
Respectfully submitted,



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Claire J. Schur-van Goodman



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PATENT AND TRADEMARK OFFICEATTY. DOCKET NO.
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STATEMENT BY APPLICANTAPPLICANTS
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	WO96/41315A1	12/1996	PCT				
	WO98/58333A1	12/1998	PCT				
	WO01/39056A1	5/2001	PCT				
	WO01/16825A1	03/2001	PCT				

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ALL REFERENCES CONSIDERED EXCEPT WHERE LINED THROUGH. /C.G./

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